

06/18/99  
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4U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

JCS/USPTO  
06/18/99

**UTILITY PATENT APPLICATION  
TRANSMITTAL LETTER  
UNDER 37 C.F.R. 1.53(b)**

ATTORNEY DOCKET NO.:

2698/36

Address to:

Assistant Commissioner for Patents  
Washington D.C. 20231  
Box Patent Application

Transmitted herewith for filing is a patent application.

Inventor(s): **Kevin CURTIS, Yuri URAZOV and Michael BERGANOVSKY**

For: **A METHOD AND SYSTEM FOR REFERENCING, ARCHIVING  
AND RETRIEVING SYMBOLICALLY LINKED INFORMATION**

1. Enclosed are:

- 34 page(s) of Specification and 19 sheet(s) of Drawing(s);
- An Assignment of the invention to Multex.com, Inc.;
- A Declaration;
- A Power of Attorney by Assignee of Entire Interest; and
- A Verified Statement Claiming Small Entity Status.

2. The filing fee has been calculated as shown below:

	NUMBER FILED	NUMBER EXTRA*	RATE (\$)	FEE (\$)
BASIC FEE				760.00
TOTAL CLAIMS	40 - 20 =	20	18.00	360.00
INDEPENDENT CLAIMS	5 - 3 =	2	78.00	156.00
MULTIPLE DEPENDENT CLAIM PRESENT			260.00	
Number extra must be zero or larger			TOTAL	1,276.00
If the applicant is a small entity under 37 C.F.R. §§ 1.9 and 1.27, then divide total fee by 2, and enter amount here.			SMALL ENTITY TOTAL	638.00

3. Please charge the required application filing fee of \$638.00 to the deposit account of **Kenyon & Kenyon**, deposit account number **11-0600**.

4. The Commissioner is hereby authorized to charge payment of the following fees, associated with this communication or arising during the pendency of this application, or to credit any overpayment, to the deposit account of **Kenyon & Kenyon**, deposit account number **11-0600**:
  - A. Any additional filing fees required under 37 C.F.R. § 1.16;
  - B. Any additional patent application processing fees under 37 C.F.R. § 1.17;
  - C. Any additional document supply fees under 37 C.F.R. § 1.19;
  - D. Any additional post-patent processing fees under 37 C.F.R. § 1.20; or
  - E. Any additional miscellaneous fees under 37 C.F.R. § 1.21.
5. A duplicate of this letter is enclosed for that purpose.

Respectfully submitted,

Dated: 18 June 1995

By:   
Michelle M. Carniaux  
Reg. No. 36,098

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New York, New York 10004  
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U.S. DEPARTMENT OF COMMERCE  
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**VERIFIED STATEMENT CLAIMING  
SMALL ENTITY STATUS  
37 CFR 1.9(c-f) and 1.27(b-d)**

Docket Number:  
2698/36

Application Number	Filing Date	Examiner	Art Unit
Invention Title <b>A METHOD AND SYSTEM FOR REFERENCING, ARCHIVING AND RETRIEVING SYMBOLICALLY LINKED INFORMATION</b>		Inventor(s) <b>Kevin A.CURTIS, Yuri URAZOV and Michael BERGANOVSKY</b>	

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With respect to the invention described in the specification filed herewith, I declare that I am an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern: Multex.com, Inc.  
Address of Concern: 33 Maiden Lane  
New York, NY 10038

and that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35 U.S.C., in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

8L1696154094S

## **1. OWNERSHIP OF INVENTION BY DECLARANT**

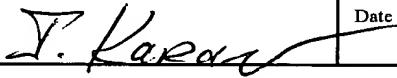
I hereby declare that all rights under contract or law have been conveyed to the above identified Small Business Concern, and no rights to the invention are held (1) by any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, (2) any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or (3) a non-profit organization under 37 CFR 1.9(e).

## **2. ACKNOWLEDGMENT OF DUTY TO NOTIFY PTO OF STATUS CHANGE**

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

## **3. DECLARATION**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further than these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under 18 USC 1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Signer's Name ISAAK KARAEV	Signature 	Date 4/14/99
Signer's Title: President and CEO		
Signer's Address: 33 Maiden Lane, New York, NY 10038		

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EXPRESS MAIL CERTIFICATE

J-530 U.S. PTO  
09/336031  
06/18/99

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DATE OF DEPOSIT 6/18/99

TYPE OF DOCUMENT PATENT APPLICATION OF CURTIS ET AL

SERIAL NO. \_\_\_\_\_ FILING DATE HEREWITH

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE, BY BEING HANDED TO A POSTAL CLERK OR BY BEING PLACED IN THE EXPRESS MAIL BOX BEFORE THE POSTED DATE OF THE LAST PICK UP, AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.

Boris Polanco

(TYPED OR PRINTED NAME OF PERSON MAILING PAPER OR FEE)



(SIGNATURE OF PERSON MAILING PAPER OR FEE)

TITLE: A METHOD AND SYSTEM FOR REFERENCING, ARCHIVING AND RETRIEVING SYMBOLICALLY LINKED INFORMATION